

Rules of the Road:

Connecting Board Oversight to the Strategic Map

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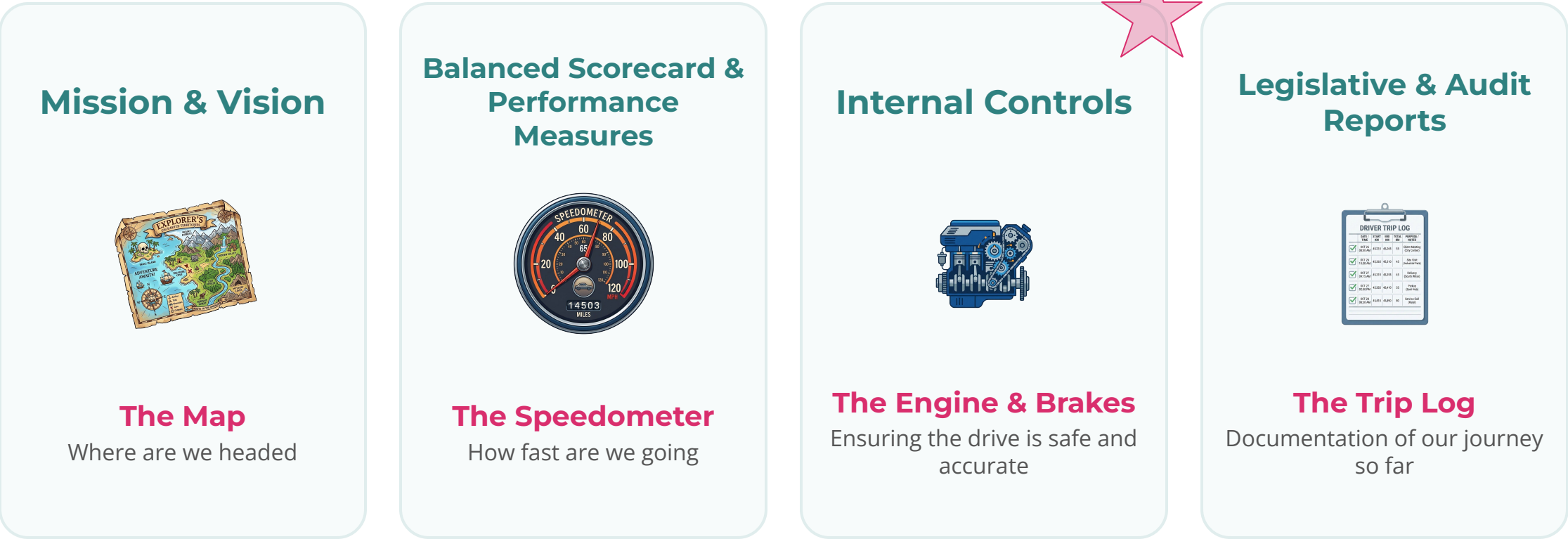
Connecting Board Oversight to the Strategic Map

Today's Objective: Provide committee members with a 4-part diagnostic framework (Establish -> Identify -> Verify -> Rectify) to:

1. evaluate rule effectiveness, and
2. locate operational bottlenecks.

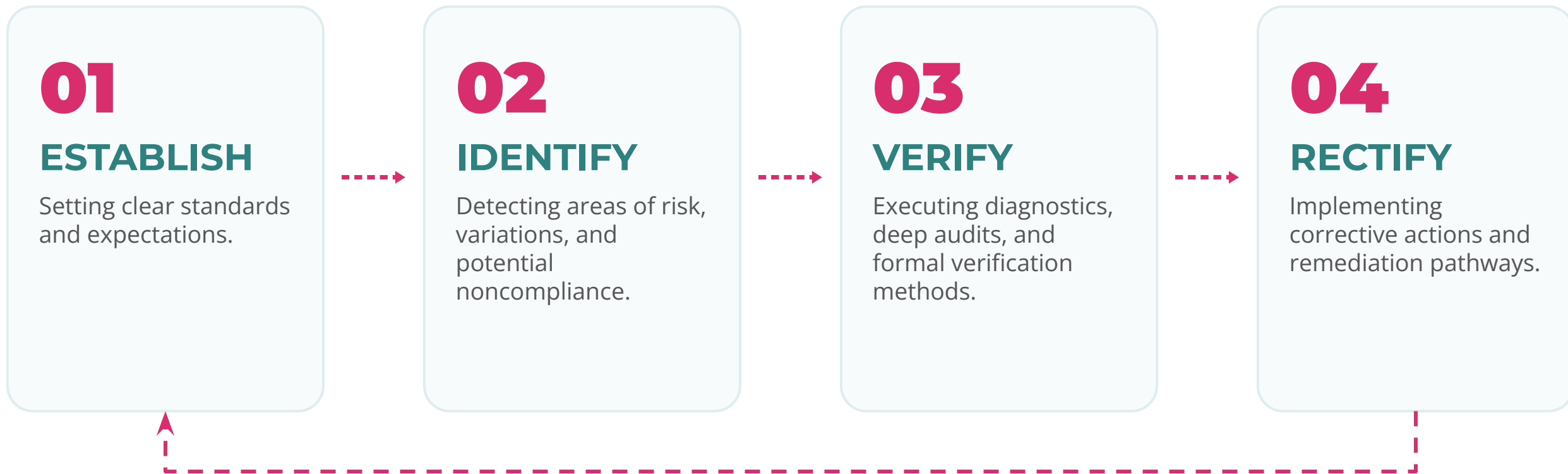
Rules of the Road

Connecting Board Oversight to the Strategic Map



Internal Controls: The Engine & Brakes

The Four Core Systems of Internal Controls



01: Establishing Expectations

Setting clear rules of the road before driving

The Owner's Manual & Traffic Laws

Before turning the key, every driver must know the foundational rules, speed limits, and vehicle specifications designed to keep everyone safe.

CORE CONCEPT

"Setting clear, universal expectations and baseline rules of the road before driving."

Rule R277-113 : LEA Fiscal Governance

Establishes baseline fiscal policies, mandatory internal controls (COSO/Green Book framework), cash handling, and accounting standards for all LEAs.

Rule R277-121 : Administrative Rule Waivers

Defines the standard procedure and framework when an LEA requests an alternative operational route or formal exemption from a Board rule.

Rule R277-117 : Board Member Ethics

Sets the Code of Official Conduct, annual ethics training mandates, and conflict-of-interest disclosure expectations for State Board members.

01: Establishing Expectations

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Are our Board rule expectations clear and accessible enough that an LEA administrator could accurately self-assess compliance without needing staff interpretation?

When we write or amend rules, are we giving LEAs enough lead time and technical assistance for the 'manual' to be successfully implemented and operationalized?

02: Identifying Noncompliance

Dashboard Warning Lights & Routine Inspections

Dashboard Warning & Inspections

Early detection systems flag potential issues before catastrophic failure. Just like routine maintenance, continuous tracking prevents system-wide breakdown.

CORE CONCEPT

"Detecting areas of risk, variations, and potential noncompliance before they escalate."

UNIVERSAL DETECTION

R277-123: Public Hotline

Universal "check engine light" for reporting alleged rule or statute violations directly to Internal Audit.

R277-108: Assurance Document

Serves as our mandatory "annual state inspection," requiring LEAs to self-certify compliance across all rules to catch system defects before they cause operational failure.

R277-113: Fiscal & Assurances

Routine financial submissions, external audit reviews, and annual LEA compliance assurances.

DOMAIN-SPECIFIC WARNINGS

R277-123-5: Discriminatory Practice

Triggers an expedited 7-day high-level screening and mandatory 30-day Board notification for intake complaints.

R277-123-10: Sensitive Materials

Establishes a strict 30-day window for individuals with standing to appeal local LEA sensitive materials decisions to the Board.

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Are our warning lights (risk-based monitoring, hotlines, annual assurances) calibrated correctly—or are we suffering from 'alarm fatigue' on minor issues while missing systemic risks?

Does our hotline intake process under R277-123 route complaints efficiently, or are unverified claims creating unnecessary administrative drag for LEAs and staff?

03: Verifying Noncompliance

The Mechanic's Diagnostic Tool & Verification Procedures

The Mechanic's Diagnostic Tool

Due diligence executed between "we think there is a problem" and "we confirmed a problem." Crucial for distinguishing false alarms from true violations.

CORE CONCEPT

"Executing diagnostics, investigations, and formal verification methods to validate system anomalies."

UNIVERSAL DIAGNOSTICS

R277-116: Audit Procedures

The general diagnostic process for agency or LEA operational and financial reviews, outlining engagement letters, evidence gathering, 14-day client response windows, and exit conferences.

R277-123-9: Hotline Escalation

Authorizes the Internal Audit Department (IAD) to conduct formal diagnostic investigations under Rule R277-116 standards when referred hotline complaints remain unresolved.

DOMAIN-SPECIFIC DIAGNOSTICS

R277-210 to -217: UPPAC Tracks

The specialized diagnostic track used exclusively to investigate educator licensing violations and protect educator due process.

R277-750: Special Education Disputes

The specialized diagnostic process for evaluating federal and state Special Education noncompliance complaints.

R277-117-5: Ethics Commission

The specialized diagnostic body authorized to issue subpoenas and hold evidentiary hearings regarding Board member ethics complaints.

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CORE CONCEPT

"Executing diagnostics, investigations, and formal verification methods to validate system anomalies."

Where do our biggest diagnostic delays occur between an initial red flag and a verified finding? Do specialized tracks (like UPPAC or Special Education reviews) have the diagnostic resources they need?

Is our verification process rigorous and thorough enough to hold up under legal scrutiny while remaining timely enough to protect students?

04: Rectifying Noncompliance

The Repair Shop & Road Test

The Repair Shop & Road Test

Fixing the confirmed problem and conducting follow-up testing to ensure the fix holds long-term.

CORE CONCEPT

"Implementing corrective actions, resolving anomalies, and conducting follow-up verification to guarantee on-going compliance."

UNIVERSAL REMEDIATION

R277-114-4: Corrective Action

The general umbrella process for issuing, tracking, and enforcing Corrective Action Plans (CAPs) across any program, fiscal, or operational violation.

R277-114-5 & 6: Appeals

The general administrative appeal pathway (5-member committee) for LEAs contesting a CAP or Superintendent enforcement action.

DOMAIN-SPECIFIC REMEDIES

R277-215 & 216: UPPAC Action

Specialized remedies for educator misconduct, ranging from reprimand to license suspension, revocation, or conditional rehabilitation.

R277-117-5(6): Board Sanctions

Specialized remedies for Board ethics violations, including public resolution of censure or restriction of committee privileges by a 2/3 vote.

R277-114-4(13): Safety Escalation

Specialized remedy triggering mandatory notification to the State Security Chief, if a school safety CAP is breached.

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Are our Corrective Action Plans (CAPs) under R277-114 actually fixing the underlying organizational health of LEAs, or are we seeing repeat findings year after year?

Are our statutory and rule escalation pathways clear enough for the Board to act decisively? If not, what additional information or guidance would be helpful?

Spotlight Example: Rule R277-608 in Action

How a Single Program Rule Spans the Entire 4-Stage Compliance Engine

01: ESTABLISH EXPECTATIONS

The Owner's Manual & Safety Specs

- **§ R277-608-3 & 11:** Mandates written LEA policies prohibiting corporal punishment, chemical restraints, and unapproved mechanical restraints.
- **§ R277-608-4:** Sets 2-tier mandatory training: Foundational for all student-supervising staff and Comprehensive ESI for key identified staff.
- **§ R277-608-7:** Establishes physical build standards for seclusion rooms (e.g., push panels, door requirements, retrofitting timelines by 2032).



02: IDENTIFY NONCOMPLIANCE

Dashboard Sensors & Safety Inspections

- **§ R277-608-5(5), (7), (13):** Mandates immediate parent/admin notification (15 minutes) and required logging in SIS records following any physical restraint or seclusion.
- **§ R277-608-10:** Requires annual LEA safety inspections of all seclusion rooms and annual board assurances to USBE.
- **§ R277-608-12:** Mandates annual collection and submission of LEA-wide ESI incident data to the Superintendent.



03: VERIFY NONCOMPLIANCE

Mechanic Diagnostic Tools

- **§ R277-608-6:** Requires every LEA to establish an ESI Committee (admin, behavior specialist, educator, parent) to regularly review incident documentation.
- **§ R277-608-13(2), (4):** Mandates Superintendent periodic reviews of submitted ESI data, physical room compliance, and special behavior plans under R277-609.



04: RECTIFY NONCOMPLIANCE

Repair Shop & Safety Recalls

- **§ R277-608-9(2), (4):** Requires a formal LEA Compliance Plan for non-compliant rooms and 30-day mandatory reporting of reported room violations to USBE.
- **§ R277-608-9(6) & 608-13(6), (7):** Nonresponsiveness or unmitigated violations trigger formal escalation to R277-114 (CAPs), R277-123 (Hotline), R277-211 (UPPAC), or R277-750 (Special Education).

Takeaway for Committee: Program-specific rules like R277-608 do not operate in a vacuum—they rely on the general internal control rules (R277-114, R277-123, R277-211) to enforce compliance when local remediation fails.

Rules Mapped to Role in Internal Controls

Rule & Policy Description	Establish	Identify	Verify	Rectify
R277-113 LEA Fiscal & Auditing Policies	●	●	●	
R277-114 Oversight, Accountability & Compliance	●	●	●	●
R277-116 Audit Procedure		●	●	●
R277-123 Reporting Violations (Hotline)		●	●	●
R277-102 Adjudicative Proceedings			●	●
R277-121 Board Waiver of Admin Rules	●			
R277-750 Special Education Programs	●	●		
R277-108 Annual Assurances	●	●		
R277-211 UPPAC Definitions & Jurisdiction	●	●	●	●
R277-212 UPPAC Hearing Procedures			●	●
R277-217 Utah Educator Standards	●	●		
R277-407 School Fees	●	●	●	●

Rules Mapped to Each Other

